

Applicant or Patentee: CELLTECH LIMITED  
Serial or Patent No.: \_\_\_\_\_  
Filed or Issued: \_\_\_\_\_  
For: RECOMBINANT DNA EXPRESSION VECTOR

Attorney's  
Docket No.: \_\_\_\_\_

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN CELLTECH LIMITED

ADDRESS OF CONCERN 216 BATH ROAD, SLOUGH, BERKSHIRE, SL1 4EN, UNITED KINGDOM.

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled \_\_\_\_\_ by inventor(s) described in \_\_\_\_\_

- ☐ the specification filed herewith  
☒ application serial no. \_\_\_\_\_, filed 20th March, 1989  
☒ PCT/GB88/00602, FILED 22 JULY, 1988

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING NORMAN HENRY CLEY

TITLE OF PERSON OTHER THAN OWNER DIRECTOR OF SCIENTIFIC AFFAIRS

ADDRESS OF PERSON SIGNING RUSSSELL CLOSE High St. RICHMOND ON

SIGNATURE [Signature]

DATE 7th April, 1989.

CDC-116  
1-86

RULE 63 (37 C.F.R. 1.63)  
DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled RECOMBINANT DNA EXPRESSION VECTORS

the specification of which (CHECK applicable BOX(es)).

☐ is attached hereto.

☒ was filed on 20th March, 1989.

☒ was filed as PCT International Application No. PCT/GB88/00602 as U.S. Application Serial No. 22 JULY 1988

and (if applicable to U.S. or PCT application) was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above, to the best of my ability. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. 1.56(a) and 35 U.S.C. 102 both as set forth on the reverse side hereof. I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date (1) before that of the application on which priority is claimed, or (2) if no priority claimed, before the filing date of this application:

PRIOR FOREIGN APPLICATION(S)

Number

Country

Day/MONTH/Year Filed

PRIORITY CLAIMED

Yes

No

8717430

UNITED KINGDOM

23 JULY, 1987

/

I hereby claim the benefit under 35 U.S.C. 120/365 of all United States and PCT international applications listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior applications in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. 1.56(a) which occurred between the filing date of the prior applications and the national or PCT international filing date of this application:

PRIOR U.S. OR PCT APPLICATION(S)

Application Serial No.

Day/MONTH/Year Filed

Status: patented,  
pending, abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint Cushman, Darby & Cushman, Eleventh Floor, 1615 L Street, N.W., Washington, D.C. 20036, telephone number 861-3000 (to whom all communications are to be directed), and the below named partners thereof (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent.

Paul N. Kokulis 16773  
Allen Kirkpatrick 16749  
George T. Mobille 17353  
James L. Dooley 17710

Lawrence A. Hymo 19057  
Akin T. Davis 19973  
Edgar H. Martin 20534  
William K. West, Jr. 22057  
Kevin E. Joyce 20508  
Edward M. Prince 22429  
Donald B. Deaver 23048  
David W. Brinkman 20817

George M. Sirilla 19221  
William T. Bullinger 25503  
Donald J. Bird 25323  
James R. Longacre 24421  
W. Warren Taltavull 25647  
Michael L. Keller 26751  
Charles R. Donohoe 24546

Watson T. Scott 26581  
Peter W. Gowdey 25872  
Dale S. Lazar 28872  
Glenn J. Perry 28458  
Kendrew H. Colton 30368

- 1) INVENTOR'S SIGNATURE [Signature] Date 7th April, 1989.  
Inventor's Name (typed) Christopher Robert BERBINGTON  
Residence (City) WINDSOR First GBX Middle Initial \_\_\_\_\_ Family Name \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address (Include Zip Code) 20C TRINITY PLACE, WINDSOR, BERKSHIRE SL4 3AT, UNITED KINGDOM
- 2) INVENTOR'S SIGNATURE \_\_\_\_\_ Date \_\_\_\_\_  
Inventor's Name (typed) \_\_\_\_\_  
Residence (City) \_\_\_\_\_ First \_\_\_\_\_ Middle Initial \_\_\_\_\_ Family Name \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address (Include Zip Code) \_\_\_\_\_ (State/Foreign Country) \_\_\_\_\_
- 3) INVENTOR'S SIGNATURE \_\_\_\_\_ Date \_\_\_\_\_  
Inventor's Name (typed) \_\_\_\_\_  
Residence (City) \_\_\_\_\_ First \_\_\_\_\_ Middle Initial \_\_\_\_\_ Family Name \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address (Include Zip Code) \_\_\_\_\_ (State/Foreign Country) \_\_\_\_\_
- 4) INVENTOR'S SIGNATURE \_\_\_\_\_ Date \_\_\_\_\_  
Inventor's Name (typed) \_\_\_\_\_  
Residence (City) \_\_\_\_\_ First \_\_\_\_\_ Middle Initial \_\_\_\_\_ Family Name \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address (Include Zip Code) \_\_\_\_\_ (State/Foreign Country) \_\_\_\_\_

FOR ADDITIONAL INVENTORS, check box ☐ and attach sheet with same information and signature and date for each.

NOTE: DO NOT copy this form without also copying reverse side too for inventors.